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ABSTRACT

Addressed to professionals involved in program evaluation, this working paper covers various aspects of evaluation planning, including the following: planning as a sociotechnical process, steps in evaluation planning, program planning and implementation versus evaluation planning and implementation, the literacy system and its subsystems, and some evaluation questions for use in evaluating literacy programs. Discussed next are situation-specific evaluation agendas and approaches to evaluating literacy programs. Following an examination of management information systems, various aspects of managing evaluation systems are covered, including developing evaluation subsystems, staffing and recruitment, staff development, linkage with support institutions, decision networks and nodes, intersystem communication, program development, resources and control, and monitoring as a management tool. Provided next are strategies for making the evaluation findings more probable and for limiting some of the politics of evaluation. (MN)

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EVALUATION PLANNING, EVALUATION MANAGEMENT AND UTILIZATION OF EVALUATION RESULTS WITHIN ADULT LITERACY CAMPAIGNS, PROGRAMS AND PROJECTS

(With implications for adult basic education and nonformal education programs in general)

A WORKING PAPER

By

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This working paper was prepared for the Subregional Workshop on Evaluation and Monitoring of Nonformal Education Programs in Southern African Countries, November 15-26, 1982 at Kang via Lobatse, Kgalagadi District, Botswana, organized jointly by the Department of Nonformal Education, Ministry of Education, Government of Botswana; International Institute for Educational Planning, Unesco, Paris; and German Foundation for International Development, Bonn, Federal Republic of Germany.

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SECTION I

CONTEXT, FOCUS AND OBJECTIVES
OF THIS PAPER

We have all heard some horror stories about evaluation studies that never got off the ground; about the choice of evaluation questions that made no sense in terms of program needs; about evaluation efforts that were launched with lot of fanfare but were never completed, or were completed too late for use in program improvement; or about evaluation reports that once completed were put on the shelves where they collected dust over the years.

What Is This Paper All About?

This paper seeks to provide happy endings to some of the horror stories just recounted. This paper will deal with evaluation planning (so that appropriate and timely initiatives can be undertaken for evaluating literacy campaigns, programs and projects, and the right evaluation questions can be chosen); evaluation management (so that evaluation studies once undertaken can be completed effectively, efficiently and on time for use in program improvement); and utilization of evaluation results (so that knowledge gained and lessons learned from evaluation studies can be put to work in decision making to improve program performance).

It should be stated that the methodology and technology of evaluation are not of substantive interest to us in this paper. Topics such as models of evaluation, evaluation methodology, indicator writing and

instrumentation have been discussed elsewhere and the reader's attention is invited to those sources.[1] In the body of the present paper, these topics will be discussed only insofar as they relate to the processes of evaluation planning, evaluation management, and utilization of evaluation results and findings.

The Focus and Basic Objectives of the Paper

The focus of this paper is on internal evaluation -- built-in evaluation that is fully integrated with the overall processes of program planning and program implementation. The assumption is that evaluation will be conducted continuously, by agents internal to the program system, to generate feedback that can be put to use in improving the program. Such evaluation will increase organizational intelligence and the capacity of the system to perform better. (Most of the ideas discussed below can, of course, be applied to external evaluation as well.)

There are three general objectives of this paper:

Instructional objective. This is to demonstrate to the reader the systematic process of doing evaluation planning; to present the set of management problems involved in the implementation of evaluation studies; and to propose actions that must be followed through if feedback generated by evaluation has to be put to work in decision making.

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[1] Bhola, H.S. Evaluating Functional Literacy. Amersham, Bucks (U.K.): Hulton Educational Publications, 1979, 164 pages. Also Bhola, H.S. Evaluating Development Training Programs. Bonn, FRG: German Foundation for International Development, 1982, 291 pages.

Programmatic objective. This is to suggest to the participants of the Workshop what might be some of the evaluation questions that should be part of their current evaluation plans, within the particular contexts of their programs of literacy or nonformal education in their countries; and what are the specific management and utilization strategies that they must use for efficient and effective evaluation.

Utilitarian objective. This is a practical, rather mundane objective: to present in one, somewhat brief, document most of the important ideas available to the profession on the topics of evaluation planning, evaluation management and utilization of evaluation results. This is done for the benefit of the group gathered at Kang, Botswana for the short ten-day period so that they can "hit the ground running"; and accomplish the practical tasks of developing evaluation, management and utilization plans for the programs they represent.

Who Is This Paper Addressed To?

This paper does seek to have an audience larger than those participating in this Workshop.

More importantly, this paper is not addressed only to the evaluation types -- the few people carrying evaluation related designations such as director of evaluation, evaluation officer, evaluation specialist, evaluation assistant, statistician, data analyst, field investigator or survey assistant, etc.; and who perphaps work full-time on evaluation tasks.

We address this paper to all those who are part of the evaluation subsystem within the overall program system. This evaluation subsystem,

we assert, will include a whole army of program people who work only part of the time on evaluation tasks but who perform the most important and indispensable support roles and interface roles. The program people in support roles provide evaluators the needed administrative support; and collect, systematize and contribute the routinely-generated program information to the evaluation effort. Again, program people in interface roles link the evaluation subsystem with other subsystems within the overall program system. These support and interface roles go from literacy teachers and supervisors in the field, through program specialists and program planners, all the way up to policy makers who make important political and budgetary decisions.

The Right Conception of an Evaluation Subsystem

Too many evaluation efforts are doomed to failure because of a defective conception of the evaluation subsystem in relation to the total program system. Unfortunately, some evaluators have too exclusive a conception of their roles. They are the only evaluators and everybody else is there to answer their questions, to do their bidding, feel awed and act respectfully. They fail to realize that while there are a few full-time evaluation officers (FTEO's) within the system, there are many many more full-time program officers (FTPO's) who are playing significant, though, part-time evaluation roles. In terms of man-hours spent their input into evaluation will indeed be many times more than the man-hour input of whole-time evaluators.

If the FTEO's do not understand the important role of FTPO's in evaluation tasks, and then do not give them due credit for their contributions, evaluators get cast into parasitical roles, they are denied

access to evaluative information and program data, and the overall evaluation effort collapses.

We strongly suggest that the evaluation subsystem within the larger program system be conceptualized as shown in the figure below:

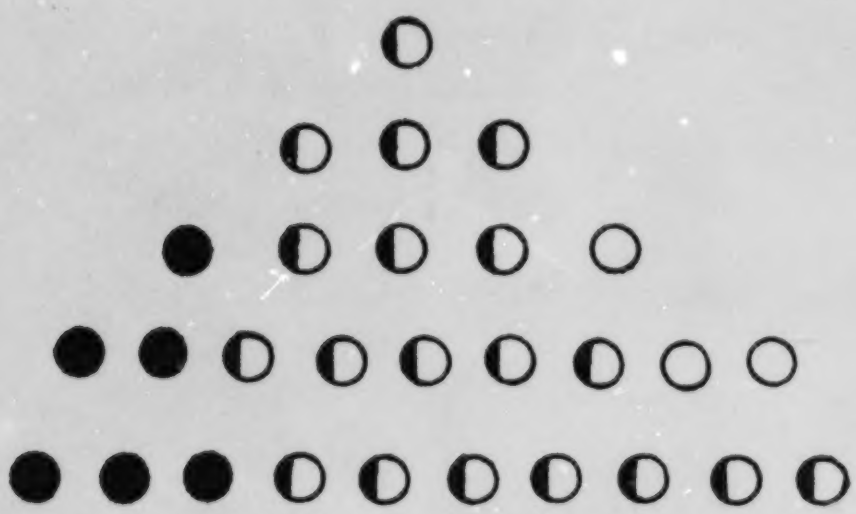

Figure I.1: The organization of an overall program system showing relationships between the evaluation subsystem and the program system

● FTEO's -- Full-time evaluation officers

○ FTPO's -- Full-time program officers

◐ FTPO's in support and interface roles in regard to the evaluation effort.

To our particular conception of the evaluation subsystem, we must add an additional statement. This is about our special orientation to

the processes of planning, management and utilization of evaluation results. This orientation can be best described as qualitative. We use intermediate technology and qualitative models and methodologies of planning, management and knowledge production and utilization. The approach used, while qualitative, is both systematic (presenting step by step procedures) and systemic (based on systems theory and, thus, on system thinking). We suggest that readers "think with" the various schematas and tabulations that follow, as they engage in the complexities (and the dialectic) of planning and decision making in the real world.

Literacy Campaigns, Literacy Programs and Literacy Projects: Three Faces of Adult Literacy Promotion

A campaign is any large-scale series of activities, intensely focussed on a set of objectives to be achieved within some pre-determined period of time. Literacy campaigns are typically born of heightened political commitment, seek full engagement of the masses and have reconstructionist objectives -- changing old societies into new ones.

A program is any proposed or pre-arranged course of action and plan of activities. A literacy program (like a literacy campaign) may be large-scale, focussed, urgent and time-bound. Perhaps the only difference between a literacy campaign and a literacy program is in terms of their orientation to the planning and management of the dynamics of change involved. A literacy program is conceptualized primarily as professionally organized development action rather than as political action; it follows a different style for the involvement of the masses with the program; and can be said to have reformist objectives -- the revolution is already a part of history!

A project is a well-defined problem that must be solved or a task or piece of work that must be accomplished. A literacy project (unlike a literacy campaign or a literacy program) is relatively speaking not large-scale; though it will be often focussed and can be both urgent and time-bound. The "means and ends calculus" of a project is akin to a literacy program rather than to a literacy campaign. Indeed, a literacy program will often be composed of many literacy projects.

In sum, while literacy campaigns, literacy programs, and literacy projects do differ from each other in regard to the political versus professional definition of social action, the heat of commitment and the style of popular mobilization, these three approaches to the eradication of adult illiteracy are all alike in terms of their underlying strategic design. That is, literacy campaigns, literacy programs and literacy projects all have to draw upon the same set of theories, models, principles and strategies for their planning, management, implementation and evaluation.

What we are saying here is that the discussion that follows on the topics of evaluation planning, evaluation management and utilization of evaluation results applies equally well to literacy campaigns, literacy programs and literacy projects.

Scope of Application of the Paper:
Larger than Literacy, Farther than "Kang"

We have used literacy campaigns, literacy programs and literacy projects as exemplars in our discussion of the evaluation planning, evaluation management and utilization of evaluation information. The discussion, however, applies also to most out-of school settings (and

even to in-school settings if the study of the broad impact of education is part of the concern). Thus, the paper covers all adult basic education programs in out-of school settings and can be easily adapted to most nonformal education programs conducted within various developmental sectors such as agricultural extension, family planning, cooperatives education, correspondence education, education and work, etc.

Again, while participants to the seminar in Kang have come only from Botswana, Lesotho and Malawi, the paper has applications to developing countries elsewhere in Africa, Asia and Latin America.

SECTION II

EVALUATION PLANNING

To plan is to have an intention or purpose, and to form a scheme or method of achieving that intention or purpose. Planning involves a particular calculus of means and ends. Thus, evaluation planning, in the context of literacy campaigns, literacy programs or literacy projects, involves the development of an evaluation agenda and the scheme for implementing such an agenda.

Planning Is a Socio-technical Process

Evaluation planning (like all planning) is not a mere technical process. It is a socio-technical process. Evaluation plans and agendas prepared by professional evaluators must be put through the political process of two-tailed negotiation with policy makers, on the one hand, and with the beneficiaries of programs, on the other hand.

This paper can deal only with half the process of evaluation planning -- the technical half. The other half of the process, which is a social process of negotiation, can not be conducted on paper. Indeed, it must be handled in real time and space, by real people, projecting their different values and defending their diverse interests. That clearly we must leave to the real stakeholders within the program system in each different country participating in this Workshop.

Steps in Evaluation Planning

The following four steps are involved in the process of evaluation planning:

1. Description of the "Evaluand" in Design Terms

To plan is to choose. But to choose well, we must first know what to choose from. This means that we must have a sufficiently comprehensive description of the "evaluand" (the entity to be evaluated -- in this case a literacy campaign, a literacy program or a literacy project).

Further, this description should not only be sufficiently comprehensive, it should lay bare the hidden calculus of means and ends embedded within the evaluand. In other words, this description must be in design terms. This is important since the whole purpose of evaluation is to redesign the evaluand for better performance.

What does it mean to describe sufficiently comprehensively and in design terms? This means to describe the evaluand in system terms: (i) to delineate the evaluand in terms of systems and subsystems involved; and (ii) to sketch each of the subsystems in terms of the four systems parameters -- Contexts, Inputs, Processes, and Outputs (Products or Outcomes).

2. Using the Dynamic Description to Generate an Ideal-Type Set of Information Needs and Evaluation Questions

Once a description of the evaluand in design terms has been completed, the various entries under contexts, inputs, processes and outputs should be used as triggers to thought, in permutations and combinations with each other, to generate an ideal-type set of information needs and evaluation questions.

3. Developing a Program-Specific Evaluation Agenda

From the ideal-type set of information needs and from the list of evaluation questions theoretically possible to ask, an evaluation agenda

must be developed within the context of a particular program and its information needs, at a particular moment in the history of that program.

The two most important criteria used in the development of a specific evaluation agenda for a particular program will have to be:

Significance. The evaluation questions chosen should be significant and not trivial. Having or not having the information sought by the evaluations should indeed make a difference. In other words, the evaluation topics chosen should be high-risk topics.

Feasibility. The evaluation questions chosen should be feasible to study in terms of the availability of resources, the time frame within which results must be produced and in terms of the politics of the program at that time.

4. Validation of the Evaluation Agenda Through Social Processes

The evaluation agenda so developed should be justified, defended and, in the process, validated by putting it through the social process of two-tailed negotiation: on the one hand, with policy makers, program planners and other stakeholders within the system; and, on the other hand, with the beneficiaries of the program who will experience the program and who will provide most of the feedback and information on impact to the evaluators.

Evaluation and Other Modes of Knowledge Production

So far, we have been using the word "evaluation" generally to cover all modes, methods and procedures of collecting feedback information and

knowledge about programs. In literature of evaluation, one will come across other words and phrases such as research, quick appraisals, monitoring and management information systems (MIS's). It is useful to understand the differences in the meanings of these various terms.

Evaluation is the process of collecting and analyzing data about a program objectively, systematically and with exactitude with the purpose of serving the decision-making needs of the program. The evaluator's loyalties are to the program he or she seeks to improve.

Research as a process is no different from evaluation. Both the evaluator and the researcher share inquiry designs, methodologies, tools and instruments and both have similar concerns about reliability and validity of their findings. The difference is in the choice of questions and in loyalties. Researchers have discipline-related academic orientation. They seek not to serve an on-going program but to advance the frontiers of knowledge in their chosen disciplines. Their loyalties are thus to a discipline (not a program) and their choice of research topics is determined by the theoretical and research needs of their discipline rather than the decision-making needs of a program of action.

Quick appraisals are quick evaluations, conducted under conditions of emergency to investigate the cause of a breakdown, to anticipate problems of implementation, or to get early returns on the impact of a program.

Monitoring (or concurrent monitoring) involves watching or checking upon an on-going program to detect flaws and to provide corrective actions.

Management information system is, as the phrase suggests, a system for collecting program information that will help in the management of the program. The need for having a management information system (MIS) is so obvious that one wonders why we took so long in our various management tasks to discover the necessity of an MIS. An MIS can -- and should -- serve as the steel frame around which the tasks of monitoring, appraising, evaluating and management are built.

We should indicate here that the development of an MIS should always be one aspect of evaluation planning within programs of adult literacy and other large-scale nonformal education activities. (See Section III below.)

Program Planning and Implementation Versus
Evaluation Planning and Implementation

Ideally, evaluation planning should be part of program planning. Evaluation must be built into the programs so that program planners can know the terrain of their work, can conduct effective social diagnoses, can design appropriate interventions, and can collect systematic feedback for studying the impact of their programs on the lives of individuals and communities.

Some implementation of evaluation must indeed precede the implementation of the evaluand. That would be called context evaluation. The data collected at this stage of evaluation will describe the context in which the program will have to be implemented, will assess learner needs and will provide the base-line data for comparisons later on.

Some implementation of the evaluation effort will be conducted during the conduct of the program, dealing with program formation,

collecting information on inputs (input evaluation) and on the processes of intervention (process evaluation).

Another important part of the implementation of evaluation will be contingent upon the implementation of the program, and will be the evaluation of impact. One cannot talk of impact evaluation (or output evaluation) unless there is a program on the ground; and unless the program has had some time to take effect and show results in the lives of people and communities.

In cases where a full-fledged program is not already on the ground, evaluation planning will have to be mostly anticipatory. Evaluation planning will then become program planning. In suggesting what might be useful context evaluation and what might be useful feedback information, we will be talking about what might be useful to do in the first place and what kinds of literacy and post-literacy programs should be established and tested-in-use.

The Literacy System and Its Subsystems: Descriptions in Design Terms and Possible Evaluation Questions

As was indicated in an earlier part of the paper, description in design terms involves a delineation of the evaluand into systems and subsystems and then descriptions of each of the systems and subsystems in terms of the four systems parameters -- contexts, inputs, processes and outputs. In the following, we undertake this task of description.

A delineation of the overall system of literacy (campaigns, programs or projects) in terms of systems and subsystems is presented on next page. (See Figure II.1).

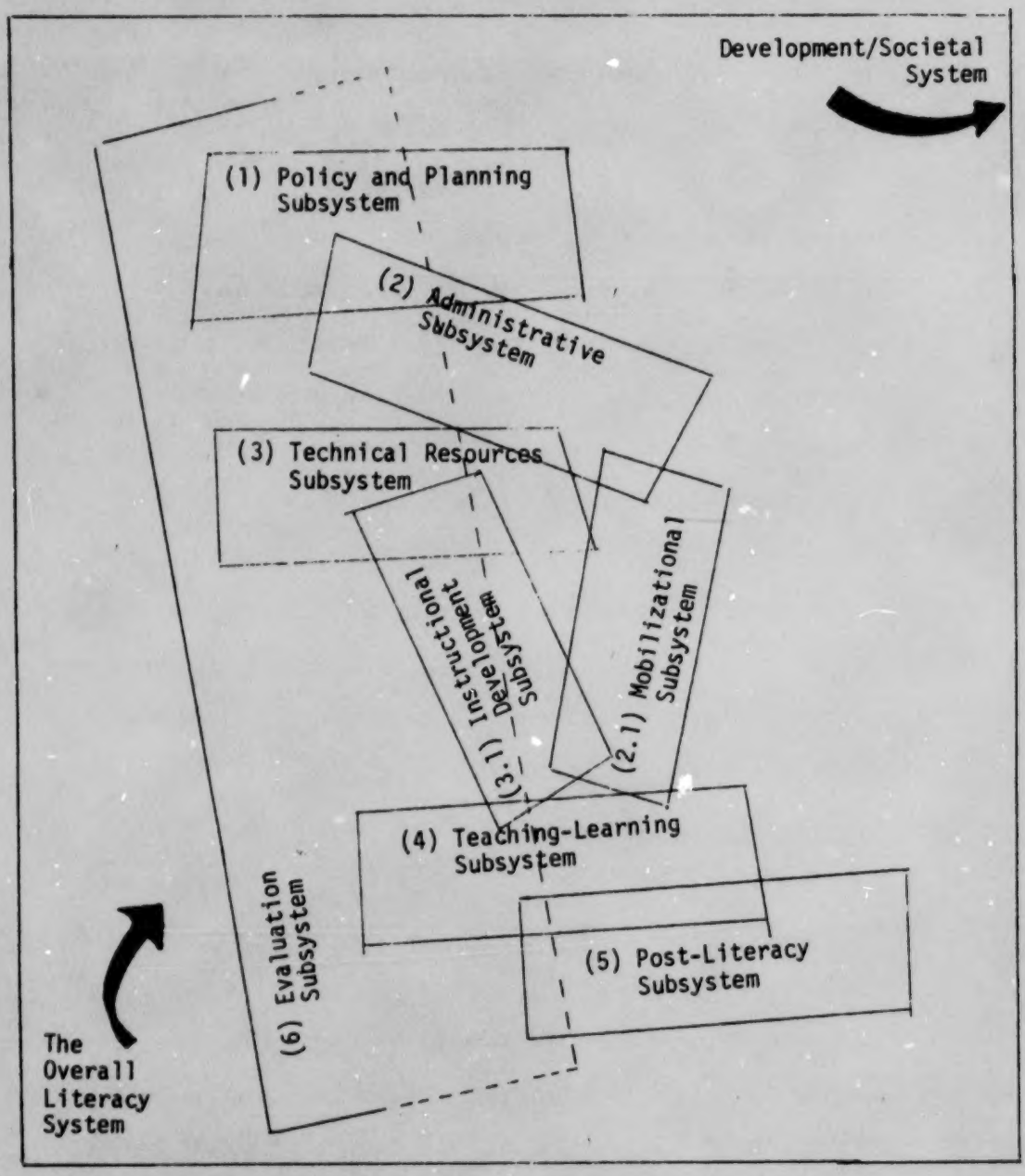

Figure II.1: The many subsystems of the total literacy system placed within the overall development/societal system.

The literacy system should be seen as placed within and in interaction with the overall development/societal system. The literacy system itself may be seen as being composed of the following subsystems:[1]

1. The policy and planning subsystem
2. The administrative and mobilizational subsystem
3. The technical resources and instructional development subsystem
4. The teaching-learning subsystem at the community level
5. The post-literacy subsystem, and
6. The evaluation subsystem.

A couple of points need to be made here before proceeding further with the discussion. A different carving of the subsystems within the overall system of literacy is possible. Another writer with somewhat different orientations might come up with a somewhat different list -- not too different, however! The various subsystems will be composed, in turn, of sub-subsystems. Indeed, third-, fourth- and fifth-generation subsystems may be possible to define. It should be noted also that the evaluation subsystem itself could be evaluated -- that would give us meta evaluation.

In the following, we will now take each of the subsystems of the literacy system, one by one, to provide design-oriented descriptions for each subsystem, using the four system parameters of contexts, inputs,

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[1]This material is adapted from H.S. Bhola, Campaigning for Literacy (A Critical Analysis of Some Selected Literacy Campaigns of the 20th Century, with a Memorandum to Decision Makers). Paris: Unesco, 1983. (See Chapter XII: Planning, Implementing and Evaluating Literacy Campaigns: A Memorandum to Decision-Makers).

processes and outputs. It is important to remember that these four categories are both necessary and sufficient. It is not necessary to invent new categories, though each of these four could be broken down into smaller parts. For example, contexts could be organizational and social; inputs could be material and institutional; processes could be instructional and organizational; and outputs could be immediate and long-term.

On the basis of these descriptions -- thinking with them -- we will suggest a set of possible evaluation questions of practical significance. While these questions will, we hope, constitute useful suggestions, readers/participants should not take them as prescriptions. They may come up with additional questions or alternative questions, within the contexts of their particular programs. Then they must develop evaluation agendas to work on during the next few months or years.

1. The Policy and Planning Subsystem

The policy and planning subsystem is perhaps the most important subsystem within the overall system of literacy. This is a subsystem which must undertake to establish relationships between the literacy system and the developmental priorities of the nation (that is, with the development/societal system). It must define the temper of the literacy effort: Will it be a reconstructionist strategy for bringing about a new political culture; or will it be construed as a developmental strategy for improving productivity and participation within the existing social and economic order?

The policy and planning subsystem must also make decisions about generating and allocating resources for the literacy effort. How much

will be committed to the literacy effort? Where will these resources come from? Will the people be expected to commit their own personal resources to the literacy effort?

This subsystem must also make decisions about the kinds of institutional resources which will be created or committed to literacy; coordination that will be encouraged or enforced; and the mobilizational strategies that will be permitted to be used to recruit people as learners and teachers. It must also decide upon the scope and style of people's participation in the overall literacy program. Finally, the role of evaluation itself must be established within the literacy system and nature of accountabilities at various locations and levels must be clarified.

In the table placed on next page, we have described the policy and planning subsystem in design terms. Thinking with this tabulation, we can suggest, by way of example, the following evaluation questions:[1]

(i) What inspirations can be drawn from the country's historical heritage and experience so as to generate policy justifications that appeal to the masses? Was the written word given a sacred definition in the tradition (as was done, for instance, in India)? Or, if the

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[1]It should be noted that many of these so-called evaluation questions could be better characterized as program planning questions. As was indicated earlier, questions of "context evaluation" are indeed equivalent to those for program planning. When a program is yet not on the ground and evaluation planning is anticipatory, the line between evaluation planning and program planning becomes very thin. It should also be noted that one would not have to go to the field to collect empirical data to answer <u>all</u> evaluation questions. Many of the most significant evaluation questions may have to be answered using logical and documentary analyses, sitting in one's office.

Table II.1: The Policy and Planning Subsystem

CONTEXTS	INPUTS	PROCESSES	OUTPUTS
1. Historical antecedents 2. Current historical conditions: 2.1 Ethnic/racial divisions 2.2 Language divisions 2.3 Class divisions 3. Existing political culture 4. Geographical/ demographic context	1. Policy makers and planners 1.1 Their experience and tools 2. Ideology/national visions 3. The masses 3.1 Collective aspirations 4. Social and economic information 5. Institutional and technological infrastructures 6. Resources	Political 1. Of leadership recruitment 2. Mobilizational/ communicational 3. Of incorporation/ affiliation 4. Of validation Technical 5. Cognitive/ decision modelling 6. Institution building 7. Of administration and coordination	1. Policies and plans 2. Institutional structures to support, deliver, and review implementation of proposed actions 3. Language of policy Justification in terms of rural development 4. Dissemination of policy statements and plans

culture was an oral culture, are there myths and legends that extolled knowledge and can be used to promote adult literacy and the acquisition of knowledge?

(ii) Was literacy promotion a part of the independence movement or another revitalization movement of some kind? What part did literacy play in such a movement? What does this experience teach us in regard to future planning for literacy promotion?

(iii) What, if any, are the ethnic, racial and class bases of literacy and illiteracy?

(iv) What language or languages have the potential to become the language(s) of literacy in the country? What languages are spoken by how many? What languages are understood by how many? What is the current and potential economic and political role of each language?[1]

(v) What institutional arrangements and mobilizational strategies are possible within the existing political culture?

(vi) What special strategies of communication and mass involvement have been and can be possible in the context of the existing geographical and demographic realities?

(vii) What are the expressed aspirations of the peoples? What is their level of commitment to the official ideology? What are their perceptions of the need of adult literacy?

(viii) What are the profiles of available resources, existing infrastructures, and social and economic indicators?

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[1]It is quite likely that evaluators working on a government sponsored literacy program will take government plans and policies for granted and will not want to raise many of the questions listed in this section.

(ix) What is the nature of the current traditional leadership within communities? What roles are being performed by such leadership? Can this traditional leadership be recruited to perform the modern task of eradicating illiteracy? What might be the effects of introducing new secular leadership within existing traditional structures?

(x) What will be the process and effects of the integration of the new literates into the economic, social and political structures?

(xi) What processes of validation of policies, plans and strategies are possible with and are preferred by the beneficiaries of programs?

(xii) What level of inter-agency coordination, as envisaged by policy makers, has been possible? Where are the breakdowns?

(xiii) Are the new institutional mechanisms established under new policy arrangements performing their tasks?

(xiv) Are the literacy related policies approved and appreciated by different constituencies involved?

2. The Administrative and Mobilizational Subsystem

Policy initiatives once established must be implemented through appropriate administrative actions; and popular involvement must be created through mobilization. The Burmese, in their literacy campaign of 1960s, talked of "organizational power" which was able to put the scarce resources of the state at the service of the literacy campaign, but more importantly was able to mobilize resources which the government did not have, by enthusing people to give of and from themselves.

The Contexts-Inputs-Processes-Outputs analysis of the administrative and mobilizational subsystem is presented on next page. (See Table II.2) Since policy making (already discussed above) involves the dual process of establishing directions and harnessing of institutional resources for implementing new directions, some of the entries on the following tabulation will be similar to the entries in the tabulation for the "Policy and Planning Subsystem." (Table II.1 above)

Thinking with the tabulation II-2, one can generate the following list of evaluation questions:

(i) What are the value profiles of the development bureaucracy at the various levels of the hierarchy? Are those value profiles congruent with the task of eradicating illiteracy?

(ii) What are the educational backgrounds and staff development needs of decision makers within the administrative system?

(iii) What is the organizational capacity of the administrative system and of the voluntary and mass organizations for the delivery of literacy?

(iv) What are the social-psychological make-up, political orientation and pedagogical abilities of cadres working in the literacy program?

(v) What are some of the indigeneous structures of communication and leadership which can be used to mobilize the people? What linkages are possible between traditional and modern media and modes of interaction?

(vi) How are the new roles (of literacy teachers, supervisors, etc.) introduced into the communities working at the community levels? Are role expectations being fulfilled? Are there any role conflicts emerging

able II.2: The Administrative and Mobilizational Subsystem

CONTEXTS	INPUTS	PROCESSES	OUTPUTS
. Policy making culture . Bureaucratic culture . Social ecology	1. Development bureaucracy 1.1 Their values 1.2 Their training 2. Organizational/ institutional infrastructure 2.1 Organizational capacity 2.2 Tools and technology 3. Mass organizations 3.1 Missions, capacities 4. Voluntary organizations 4.1 Missions, capacities 5. Agents of government; Cadres of political parties and mass organizations at the field level 6. Communication structures for information dissemination and mobilization	Administrative 1. Task analysis and inventorying 2. Role design 3. Organizational design 4. Organizational development (OD) and communication 5. Staff development and team building 6. Coordination, interfacing, linking 7. Management (Perting, Scheduling, & Budgeting) Mobilizational 8. Communication 9. Motivating 10. Building commitment 11. Eliciting response	1. Organizations 2. Roles 3. Coordination mechanisms 4. Adhocratic committees 5. Mobilization mechanisms 6. Message systems (Slogans, oaths, posters, folk media and radio programs, etc.) 7. Public involvement and response 8. Community action and commitment of public resources

in relation to other roles and expectations?

(vii) What is the perception of the beneficiaries about the program: a program in the interest of the State and under government control, or a program in the interest of people enjoying full support of the government?

(viii) Is the program actually integrated at the point of delivery? Is the program seen as one unified service or is it experienced as too many government functionaries getting into each other's ways?

(ix) What does an analysis of people's responses (the social graffiti of slogans, writing on the walls, posters and anecdotes) tell us about how the people are experiencing and responding to the program?

(x) What does an inventory of community actions, following the literacy program, look like?

3. The Technical Resources and Instructional Development Subsystem

This, again, is an important subsystem. Instructional Development (the process of developing instructional packages based upon task analysis, learner analysis and analysis of learners' environment) is the heart of the system of literacy. Indeed, writing of primers and preparation of posters, drill cards for learners and development of teacher guides for instructors are sometimes seen as the problem of literacy promotion. (This narrow conception of literacy work is unfortunate, but it, nonetheless, points up the great significance of the subsystem of instructional development and related problem of materials production for literacy work.)

Related with the task of instructional development is the task of building technical resource systems to support the technology of literacy

work. This means creation of institutions which can undertake a whole array of RD&D (Research-Development-Dissemination) activities in support of literacy work. India is, perhaps, the only country which has systematically and carefully established a network of resource centers from the center to the states (and hoping to take it down to the level of districts) in support ot their literacy effort as part of the nation wide Adult Literacy Program launched in 1979.

A Contexts-Inputs-Processes-Outputs description of the subsystem (which indeed it composed of two sub-subsystems: the instructional development sub-subsystem and the technical resources sub-subsystem) is presented on the next page. (See Table II.3) Once again, thinking with the tabulation one can raise literally hundreds of questions in this subsystem. The list of evaluation questions presented below is by no means exhaustive but does suggest some significant possibilities:

(i) Do the prevalent political doctrines demand one centralized curriculum and one set of materials or does it encourage one doctrine but decentralized approaches to the promulgation of the doctrine?

(ii) Does the political culture permit the development of genuinely competitive doctrines and thereby competitive instructional systems and content of instruction?

(iii) What is the latent curriculum of the materials that make part of the instructional system? Does the approach involve political resocialization? Does it involve work-orientation?

(iv) What resources are available at national and regional levels in regard to (a) social change planning and pedagogy; (b) writing creative and expository materials; and (c) artists, photographers, printers, film

Table II.3: The Technical Resources and Instructional Development Subsystem

CONTEXTS	INPUTS	PROCESSES	OUTPUTS
1. Political context 1.1 Conformist versus pluralistic culture 1.2 Right to hold and promote alternative ideologies and message systems 1.3 State's control of institutional resources or otherwise 2. Intellectual/Educational context or climate 2.1 Availability of writers, artists, media specialists, pedagogues 2.2 Pedagogical doctrines 3. Technological infrastructures 3.1 Paper-making factories 3.2 Printing facilities	1. Manpower: researchers, developers, program specialists, literacy workers 2. Institutions: universities, research centers, libraries, publishers 3. Materials resources: printing and photographic equipment, paper, other supplies	1. R,D&D 2. Institution building 2.1 Staff development 2.2 Training 3. Instructional development 3.1 Task, learner, and environment analysis 3.2 Design, production, and delivery of instructional products	1. Instructional products: primers, work books, print and audiovisual materials, guidebooks, followup books 2. Trained manpower: teachers, group leaders, monitors, supervisors 3. Instructional systems: media systems, distance education, correspondence learning 4. RD&D Institutions: Research centers, publication channels, learning resource centers

makers, radio and television producers?

(v) What is the profile of available manpower of direct concern to the task of literacy promotion? What are their numbers? What is the quality?

(vi) What is the existing level of commitment of support institutions such as universities and research centers to literacy work as demonstrated in their training programs and research outputs?

(vii) What are the titles published by private publishers during the last decade on the subject of needs and methods of literacy promotion?

(viii) Are any courses being taught at the universities on the subjects of literacy and adult education? What is the content and quality of these courses? What is their annual output?

(ix) What is the quantity and quality of material resources available for instructional developers and technical resource builders to accomplish their tasks?

(x) Is the instructional development process based, on the one hand, on appropriate needs assessment procedures and, on the other hand, on appropriate analyses of tasks, learner characteristics, and environmental variables?

(xi) Do instructional materials reflect innovative design and high quality of production?

(xii) Does the instructional development strategy accommodate alternative conceptions of content and method of teaching literacy?

(xiii) Does the instructional packaging of the materials allow partial unpackaging and local adaptation of materials?

(xiv) Are there opportunities for peer reviews and professional audit of instructional materials produced?

(xv) Have the procedures of instructional development been institutionalized enough for the process to continue at least during the life of the project?

(xvi) Have appropriate support institutions been created and interfaces established with universities and research centers to complete the chain of the RD&D process?

(xvii) What will be the logistical requirements of a system to be able to deliver materials and instructional services to those who need them and where they need them?

(xviii) Are primers and related reading materials based on the right vocabulary research? Are they properly designed and graded? Do they teach effectively?

(xix) What are the levels of performance of teachers, group leaders and supervisors in the system as seen by program specialists and beneficiaries?

(xx) What are the levels of organizational capacity and performance levels of the institutions of instruction and instructional support?

4. The Teaching-Learning Subsystem at the Community Level

This subsystem encompasses instruction and development action as a living system. Learners and teachers now make actual instructional transactions. Learners transfer their learning to others and to their life and work, to take actions that translate as change at the community level and at the national level.

A Contexts-Inputs-Processes-Outputs description of the subsystem is included on the following page. (See Table II.4) Thinking with this

Table II.4: The Teaching-Learning Subsystem at the Community Level

CONTEXTS	INPUTS	PROCESSES	OUTPUTS
1. Cultural (especially religious) and demographic context	1. Learners 1.1 Families 1.2 Salient others	1. Communicational	1. Individual learning/ productivity/ resocialization/ praxis
2. Ethnic/Caste organization of the community	2. Teachers/ Cadres/ Extension agents	2. Organizational	2. Family and community learning
3. Social/ Geographical ecology	3. Instructional materials 3.1 Community learning resources 3.2 Community leaders	3. Instructional	3. Effective traditional/modern leadership
4. Economic organization and/or occupational profile		4. Socializational	4. Community action for development 4.1 New learning structures (skills exchanges; community centers; LRC's) 4.2 New economic structures 4.3 New social structures 4.4 New political structures
5. Community experience with earlier literacy and development actions		5. Of linkage and transfer	

tabulation, a set of evaluation questions can be generated as follows:

(i) What does the cultural and demographic context of field work suggest about grouping of learners -- independent learners, teacher-learner dyads, families, peer groups, age groups, mixed groups of males and females, and separate classes for men and women? How does the context affect choice and location of learning sites?

(ii) What does the economic organization of the community, and the distribution of occupations within the community, suggest in regard to the "functional" content of the program in the field?

(iii) What are the perceptions of the community about the objectives, procedures and impact of some development programs offered to them in recent years? Do the potential beneficiaries of the proposed literacy programs see these programs as particularly helpful?

(iv) Who is in the program? For what reason? For how long? With what effect on himself or herself and on their families?

(v) What are the class origins, values, and instructional and communication skills of those engaged in the program as teachers, monitors and group leaders?

(vi) Does coordination between and among various functionaries exist for as integration of "words" and "work" to be actualized?

(vii) Are indigeneous learning resources (knowledgable members of the community, folk media and traditional institutions, for instance) being put to work and how?

(viii) What channels and modes of instruction, communication and organization are working inadequately and what are working particularly well? Why? What is the special role assigned to radio in the teaching

of adult learners in classes and the community?

(ix) Is adult learning going beyond reading and writing and farther than mere acquisition of knowledge? Is literacy being put to use? Is there evidence of behavioral change?

(x) Is learning first achieved by the primary group of learners spreading or filtering through to the community? How and what is being transferred?

(xi) What is the level of acquisition of literacy, numeracy and functional economic knowledge among the adult learners in the program?

(xii) Have there been increases in the levels of productivity? What uses are being made of the increased disposable income?

(xiii) Has literacy contributed to political participation on the part of adult literates? How and in what measure?

(xiv) Have there been changes in the leadership patterns at the community level? What are those changes?

(xv) What kinds of pressures have been generated that effect the institutional life of the community?

5. The Post-Literacy Subsystem[1]

The post-literacy subsystem is itself composed of at least four sub-subsystems and is by no means a simple concept to understand. Before presenting the Contexts-Inputs-Processes-Outputs table for post-literacy, we will present some introductory material on the concept

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[1]Material presented in this section was part of the paper, "Evaluation Planning of Post-Literacy Programs" presented at the National Seminar on Strategies for Post-Literacy, Followup and Continuing Education in Rural and Urban Context, organized jointly by the Directorate of Adult Education, Ministry of Education and Culture, Government of India and State Resources Center at Osmania University, Hyderabad, India, during September 24-30, 1982.

and enterprise of post-literacy.

The following remarks should be explanatory:

Post-Literacy: The Time Frame
and the Program Frame

Post-literacy as a concept is a mix of the temporal (the time dimension) and of the programmatic (the program dimension). Post-literacy in its program dimension consists of programs and projects that are built upon the assumption of literacy (or at least without the assumption of illiteracy) among those sought to be served by post-literacy programs. Thus, illiteracy is not the criterion used for the choice of modes or media of instruction in post-literacy programs, even though these programs may often serve both the literate and the illiterate. Paradoxically, post-literacy programs are not always for the already literate.

In their temporal dimension, post-literacy programs should follow literacy programs in time. This is typically so when seen from the perspective of the participants of one particular literacy program. But time is relative from the perspective of planners of post-literacy programs. Planning of literacy and post-literacy programs can and indeed must be handled by them concurrently and conjointly. The implementation of literacy and post-literacy programs will also be often concurrent because while some client groups will need initial literacy instruction, some others will need post-literacy programs, having acquired their literacy skills in earlier adult literacy programs, or within the context of the school.

Clients of Post-Literacy Program

Unfortunately, the word post-literacy has often encouraged a fixation on the needs of adults coming out of literacy classes organized for them in out-of-school settings. Thus, only those coming out of adult literacy classes have been seen to be the clients of post-literacy programs. This is a narrow conception and planner of post-literacy programs must grow out of it.

Post-literacy programs should be planned to serve all those who are literate, irrespective of the setting in which literacy was first acquired by the now literate. This means that clients of post-literacy programs will include adult men and women coming out of literacy classes especially organized for them; school leavers and dropouts from school, with various levels of literacy acquisition; and any others who may have acquired initial literacy at home, at work, in a religious establishment or in the army. Some may be self-taught.

Four General Objectives of
Post-Literacy Programs

Four general objectives of post-literacy programs can be identified:[1]

(i) Literacy Retention: This involves reinforcement and strengthening of literacy skills of new literates through use, making relapse into illiteracy unlikely. Sometimes there may be a prior task, that of remediation, when the level of literacy acquisition among participants is found not to be of a sufficient level.

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[1]Bhola, H.S. (with Joginder K. Bhola). Program and Curriculum Development in the Post-Literacy Stages. (A Workshop Manual). Bonn, FRG: German Foundation for International Development, 1980, p. 16.

(ii) Second Chance Formal Education: The objectives of post-literacy may often involve providing a second chance for formal primary or secondary education to those who had missed the chance of going to school when young, or are unable to go to school now because there is no school to go to in the community. This can be called Alternative Formal Education or AFE.

(iii) Systemic Integration: The now literate are taught additional literacy skills and functional knowledge with the objective of helping them to integrate within the social, economic and political institutions and structures of the society to the mutual advantage of both the individual and the social system.

(iv) Socialization for an Ideal Society: The now literate are prepared for creating, sustaining and for participation in an ideal community and for contributions to a new world order.

The figure below (Figure II.2) shows the four sub-subsystems of post-literacy in relation to the various systems of education and instruction that feed the post-literacy subsystem.

It is now time to present a Contexts-Inputs-Processes-Outputs tabulation for the post-literacy subsystem. As could be judged from the figure below, the tabulation would indeed be four tabulations in one as shown on page 40. (See Table II.5)

The entires in the tabulation are not meant to be comprehensive for reasons of space and scope of this working document. But they are, nonetheless, indicative of the usefulness of the tabulation to assist in the generation of a series of appropriate evaluation questions.

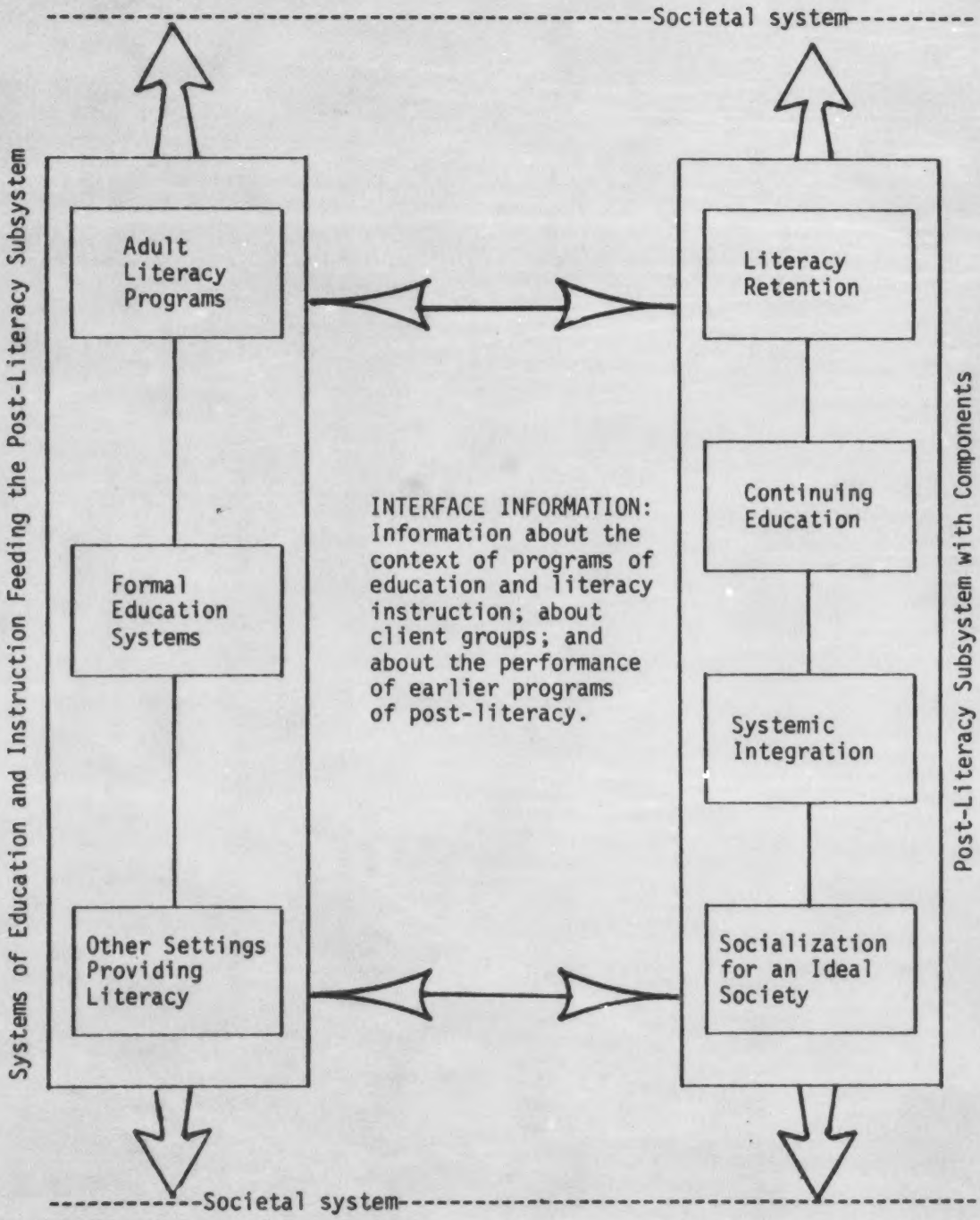
Societal system
Systems of Education and Instruction Feeding the Post-Literacy Subsystem
Adult Literacy Programs
Formal Education Systems
Other Settings Providing Literacy
INTERFACE INFORMATION: Information about the context of programs of education and literacy instruction; about client groups; and about the performance of earlier programs of post-literacy.
Literacy Retention
Continuing Education
Systemic Integration
Socialization for an Ideal Society
Post-Literacy Subsystem with Components
Societal system

Figure II.2: The various components of post-literacy and the various systems of education and instruction feeding the subsystem of post-literacy.

Table II.5: The Post-Literacy Subsystem

	CONTEXTS	INPUTS	PROCESSES	OUTPUTS
LITERACY RETENTION	1. Literacy program context 2. General social context	1. New literates 2. Instructors 3. Writers 4. Reading materials 5. Institutions for promotion of reading	1. Research 2. Writing, testing 3. Publication 4. Instruction 5. Organization 6. Distribution	1. Literacy retention 2. Literacy utilization 3. A reading public 4. Institutions for writing, publishing, distributing books
SECOND-CHANCE EDUCATION	1. Formal educational context 2. General socio-economic context	1. New literates, dropouts, school-leavers 2. Teachers, instructional developers 3. Materials 4. Support institutions	1. Instructional development 2. Publication, distribution 3. Instruction 4. Organization 5. Examining	1. Certified graduates 2. Trained manpower 3. Personal satisfactions
SYSTEMIC INTEGRATION	1. Social, economic and political structures 2. Political culture	1. Learners 2. Extension agents 3. Instructional materials and training tools for productivity 4. Support institutions	1. Instructional development 2. Teaching and training 3. Economic and political affiliation 4. Institution building	1. Economic, social and political democracy 2. Responsive institutions
IDEAL SOCIETY	1. Cultural context 2. Global realities	1. Learners 2. Change agents 3. Materials 4. Support institutions	1. Instruction 2. Consciousness raising	1. Individual and social praxis 2. Appropriate social, economic and political agendas 3. New world order

Some of the evaluation questions suggested by the table are given below:

I. Some Questions at the Interface

(i) Is the instructional time assigned to the literacy cycle sufficient to make adults in literacy classes literate? What about functionality? What about awareness?

(ii) What is the level of literacy acquisition of dropouts and school leavers coming out of elementary schools?

(iii) What is the age, sex, occupation, income and class composition of those declared literate through adult literacy programs?

(iv) What is the new literate's view of the illiterate? What is the illiterate's view of the new literate?

(v) Is there a difference between the literate and the illiterate in regard to their knowledge of "how the world works"?

(vi) What is the experience in reaching the "poorest of the poor" and other disadvantaged groups during the literacy program which could now be used to reach them in the post-literacy stages?

(vii) What are some typical profiles of aspirations of peoples -- illiterate, new literate, young, old, male, female?

II. Literacy Retention: Some Evaluation Questions

Some of these questions may be better characterized as research questions but they all have practical significance in relation to the design and evaluation of a post-literacy program:

·1 The Phenomenon of Retention

(i) How many of those declared literate typically lose their literacy skills and under what conditions?

(ii) Who retains literacy? What level of literacy makes a person retention-prone? What are the motivations of those who are able to retain literacy? What are the uses to which they put their skills? What is their work and life context?

·2 Provision of Reading Materials

(i) How have the prize schemes, if any, dealing with the production of reading materials done? What is the natural history of a prize winning book? How do the sales of prize winning books compare with those that did not win prizes? In other words, what is the economics of prize publications?

(ii) Do prize winning publishers later publish more books for new literates?

(iii) What is the level of productivity of prize winning authors? Do they write more books for new literates?

(iv) Do nationally known popular writers want to write for the new readers? Why? Why not?

(v) Is writers workshop a useful format for training writers of post-literacy materials?

(vi) Is writers workshop a useful format for actual production of materials for new readers?

(vii) How do different models of writers workshops in use in the country and abroad compare with each other in terms of productivity and economy, efficiency and effectiveness?

(viii) When can writers cooperatives succeed in the provision of post-literacy materials for new readers?

(ix) What has been the experience with translation of books for new readers from one language into another? What has been the experience with co-publishing, if any?

(x) What has been the experience with the adaptation of available materials (such as extension materials in agriculture, health, nutrition and family planning) to the special needs of the new literates and now literates?

(xi) What has been the experience with readers-written books? Or, with the writing of books based on the oral history of a community?[1]

·3 Vocabulary Research and Evaluation

(i) What is the spoken vocabulary of the prospective participants in programs of post-literacy?

(ii) What written words have become sight words for those coming out of literacy classes and for those coming out of schools?

(iii) Can we taxonomize levels and contents of literacy in terms of specialized word lists?

(iv) What words must be mastered by learners to cope with scientific agriculture, family planning information, membership in cooperatives and such?

(v) What factors should enter into the design of readability

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[1]Bhola, H.S. Writing for New Readers: A Book on Follow-up Books. Bonn, FRG: German Foundation for International Development, 1981, 190 pages.

formulas for measuring the readability levels of reading materials in languages chosen as languages of literacy?

(vi) What are the reading interests of adult men, adult women, and youth as expressed by them? What reading materials are actually chosen by them under conditions of free choice?

(vii) How to do content planning of books for new readers to relate them to their information needs on the one hand and their existing world-views on the other hand?

(viii) What is the nature of good writing for new readers as discovered from the utilization of books already written for them?

(ix) What are the special considerations in regard to type size, illustrations, book size and binding for the literature for new literates?

(x) What might be the special features of the so-called problem-oriented reading materials?

(xi) What might be the special features of materials written for reading aloud by a literate to a group of illiterates?

(xii) What format(s) might be selected for post-literacy and extension materials so that these are not seen as ephemeral but can be stored and filed for later reference by reading circles?

(xiii) How to go about field testing of reading materials? Can this process be routinized?

·4 Delivery of Services and Organizational Aspects of Post-Literacy Programs Dealing with Retention

(i) What are the comparative advantages and disadvantages of various models for the delivery of post-literacy such as organized post-literacy groups, mobile libraries, learning posts, distance education,

etc.?

(ii) What are the advantages and disadvantages in the operation of supervised post-literacy programs (such as programs offered in organized groups with trained tutors) and independent post-literacy programs (where learners make independent decisions to borrow reading materials).

(iii) What are the profiles of good libraries? What are the problems of unsuccessful libraries?

·5 Recruitment and Training of Cadres

(i) What are the special qualifications and characteristics, and training needs of post-literacy workers?

(ii) Can literacy teachers become good organizers of post-literacy programs?

(iii) Can teachers of post-literacy programs be mobilized through political work or do they have to be more formally recruited?

·6 Habits of Media Consumption and Other Effects

(i) What do people do with what they read?

(ii) What are the reading habits of new literates and now literates in regard to the use of rural newspapers and special magazines written for them?

(iii) Does literacy and reinforcement of literacy lead to a new "technology of intellect"? When does the new way of classifying, reasoning and remembering take hold?

(iv) Can reading be encouraged by serializing and clustering books and asking people to "Read a Hundred Books" or to "Read a Thousand

Books" as they have tried in China?

(v) Do literates in post-literacy programs have habits of information consumption different from those who never enrolled in such programs?

(vi) How does the utilization of radio and TV differ among groups of illiterates, new literates, and now literates enrolled in post-literacy programs?

(vii) How does literacy and post-literacy effect the relationships of literates with traditional media such as attendance at and enjoyment of puppet shows and the like?

(viii) Does literacy and post-literacy change the relationship between the new literate and the power figures in his or her environment, such as, the village headman, policeman, extension workers, government officials, and, in the case of women, men in general?

III. Some Evaluation Questions on Second Chance Education Programs

Evaluation questions in this particular program stream of post-literacy can deal with the characteristics of clients of these programs, with curriculum, delivery of instruction, problems of legitimization of second chance education and effects of second chance education on graduates and on competitive educational systems:

(i) What is the demographic profile of those joining or wanting to join second chance education programs? What are their future aspirations?

(ii) What are the special needs of participants of second chance education programs? What are the problems of creating programs that are different in content but equivalent in objectives at various levels

of formal education?

(iii) What are the comparative cost-effectiveness ratios for different modes of delivery for second chance education: evening schools, correspondence education, accelerated day school?

(iv) What is the legitimization given to graduates of second chance education programs within the social and economic system?

(v) What are the effects of second chance education on participants in relation to personal satisfactions, self-concepts, educational mobility, vocational success and increments in income, social prestige and political participation, etc.?

(vi) What are the effects of second chance education programs on competitive systems of formal education and on the democratization of education in general?

IV. Some Evaluation Questions on the Systemic Integration Theme

Some general questions can be asked about the very concept of integration in operation, in other words, on the operational meaning of integration; on the special kinds of cadres needed for effecting systemic integrations and the kinds of values needed among cadres for them to work towards such integrations. There is information needed on the economic and political opportunities available, on the problems of codification of information needed for more effective performance of institutions and the effects of integration on new literates and on existing institutions. Here are some examples of questions:

(i) What do post-literacy workers do when they claim to work on the task of integrating new literates into the social, economic and

political structures of the society?

(ii) What are the characteristics, qualifications and value profiles of those working in programs of systemic integration? Are they aware of being engaged in tasks which are basically reconstructionist and egalitarian? Are their values congruent with the tasks they have been recruited to perform? Can civil servants or apolitical cadres accomplish the tasks of systemic integration?

(iii) What is the range of institutions -- traditional and secular -- in which there are opportunities for new literates to participate?

(iv) What has been the success of polyvalent adult education centers in urban areas in economic integration of their participants?

(v) What are the possibilities of codification in writing of information and instruction for each available institution? In what way can written materials help in the capacitation of individuals for better role performance? How does the situation differ in regard to traditional versus modern institutions? Are some or most secular and modern institutions also working on the assumption of illiteracy among their members and clients?

(vi) Do those who undergo post-literacy programs connect better with institutions in the society and demonstrate better integration?

(vii) Do post-literacy programs seeking to promote systemic integration change the institutions themselves in regard to their leadership patterns and functional effectiveness and overall responsiveness? Are disadvantaged groups participating in leadership and holding instructional roles within these institutions?

(viii) Does post-literacy result in dysfunctional adaptation, making it impossible for new literates to continue to work in the informal economic sector in rural areas and forcing migration to the city to join the formal economic sector?

(ix) Is political awareness actually resulting from post-literacy programs? With what consequences for new literates themselves and for the advantaged classes?

(x) What are the effects in terms of a general response to modernization of teaching scientific literacy to adults?

(xi) What are the effects on high school graduates and university students of their participation in some national service scheme in regard to their political resocialization?

(xii) What kinds of programs of systemic integration invite greater community participation?

V. Socialization for an Ideal Society

Many of the information needs for this stream of post-literacy programs will have been met through the questions already raised. A few more questions are added here:

(i) Do post-literacy programs make independent learners or is there a contradiction in establishing supervised groups and in offering organized programs to adults whom we want to become independent learners?

(ii) Can one identify a general propensity or inclination among adults in post-literacy programs or graduates of such programs to engage in individual and social praxis?

(iii) Is there, among the relevant groups of adults, evidence of media appreciation, of understanding technology, of ecological and

environmental concerns and of the need for a new international order based on peace and brotherhood of man?

(iv) Have participants in post-literacy programs become better consumers of information and culture?

(v) What are the possibilities of establishing "enabling" institutions that will promote socialization of individuals for an ideal society?

(vi) What happens to those who conduct post-literacy programs in the field as instructors? Do they join the new secular leadership in rural and urban communities?

6. The Evaluation Subsystem

Finally, we have the evaluation subsystem which is part of the overall system of literacy. As in the case of other subsystems, one can describe the evaluation subsystem as well in terms of the Contexts-Inputs-Processes-Outputs categories and ask evaluation questions about the evaluation subsystem itself. This "evaluation of evaluation" is sometimes referred to as Meta Evaluation. Thinking with the tabulation on next page (see Table II.6), one can generate the following types of questions about evaluation:

(i) Does the policy making culture provide an environment where evaluation studies can be systematically conducted without outside political interference and without the fear of punishment for producing unfavorable results?

(ii) Is the organizational structure and climate of the program or project amenable to conducting effective evaluation and to the proper utilization of evaluation findings?

Table II.6: The Evaluation Subsystem

CONTEXTS	INPUTS	PROCESSES	OUTPUTS
1. The program context	1. Information needs of decision making	1. Evaluation planning	1. Data base
2. The policy making culture	2. Evaluators, investigators	2. Negotiation 2.1 With politicians 2.2 With communities	2. Evaluation studies
3. Knowledge base	3. Subjects	3. Evaluation management	3. Staff development
4. The technological infrastructure	4. Technology 4.1 Hardware 4.2 Software	4. Utilization of evaluation results	4. Improved programs
	5. Material resources	5. Intervention in programs for improvement	5. Institutions of evaluation and accountability
	6. Support institutions		

(iii) Does an inventory of the information needed for servicing important program decisions exist? Has this inventory been systematically developed?

(iv) What are the training needs of the evaluators at various levels of responsibility? What administrative, logistical and professional support do they need to be able to implement evaluation studies?

(v) What are the social, economic and cultural realities that surround the subjects of evaluation who must be observed and questioned for collecting evidence of impact? How to ensure that the subjects supply valid and reliable data? How to guard against mutual abuse of the evaluator by the subjects, and of the subjects by the evaluator -- perhaps a more frequent occurrence?

(vi) What were the assumptions made and procedures followed in developing a generalized set of evaluation possibilities within the overall program system of literacy?

(vii) Who are the stakeholders with whom the evaluation plans must be negotiated to develop situation-specific evaluation agendas?

(viii) Was there an understanding of what is involved in the utilization of evaluation results in regard to drawing recommendations from evaluation findings and to linking information back to decision making at clearly specified decision points?

(ix) Are the data collected reliable and valid? Are these stored for iterative retrieval for use whenever needed?

(x) Has the program system developed into a system which feels accountable to the various stakeholders and constituencies concerned with the program?

The preceding list of questions represents the theoretically possible according to just one individual specialist. (Hopefully a good one!) Another literacy expert could come up with a somewhat different list, though overlap between any two such lists will be impossible to avoid.

What is theoretically possible is not what evaluation specialists will want to do in full. They will have to make short lists that seem to meet their priority needs, within the real life and time of their programs? And that is not all. The lists drawn by technical professionals may (if not always will) have to be approved, adapted and sometimes vetoed by political actors involved in programs or concerned about their consequences.

Evaluators as technicians have to be convinced that the task of developing these lists is not useless simply because political actors will be involved and will not gratefully accept all their suggestions so carefully crafted. Evaluation planning is not all logic, but it need not be all politics either. By developing good evaluation agendas that meet the criteria of need, practical feasibility and economy, evaluators can make logic a part of the politics of evaluation; they can assist political actors in making sensible decisions and make it politically expensive for them to be merely political.

It is also good to be reminded that individual evaluation studies should also be negotiated with the beneficiaries of programs. They should have a say in what should be evaluated. They should know why something is important to evaluate and how they can help in holding a mirror to all those engaged in the process of making social change.

SECTION III

FROM GENERAL EVALUATION POSSIBILITIES TO SITUATION-SPECIFIC EVALUATION AGENDAS AND APPROACHES TO EVALUATION

In Section II, we have presented a way of delineating the total program system of literacy (or another nonformal education program) in design terms -- that is, using system thinking and the four parameters of the systems theory: contexts, inputs, processes and outputs. Such descriptions were then used to generate a whole series of possible evaluation questions which could possibly be raised by program specialists and other decision makers.

In this brief section, we like to make the point that evaluators can not be satisfied with such long and general lists and will have to go from the general to the specific. From a general set of possible evaluation questions, they will now have to develop specific evaluation agendas that make sense in the context of their particular program and its information needs, in a particular political and cultural context, at a particular historical time.

The criteria used in the selection of evaluation questions will have to be functional (the evaluation must generate the information and evidence needed by decision makers to perform their functions better), but evaluators will also have to be politically sensitive, and evaluation questions asked will have to be feasible in relation to available resources and infrastructures.

Questions selected for evaluation could be fitted into a matrix

such as the one shown on the following page to see if all aspects of the program have been covered. (See Table III.1) We are not suggesting that all the cells in the matrix should be filled by some evaluation question or another. We are only saying that this matrix can be used to check an evaluation agenda for adequacy and comprehensiveness.

Once an evaluation agenda is available, this must go through the process of negotiation, on the one hand, with all the stakeholders within the policy and planning system and, on the other hand, with the beneficiaries of the program or project. What does it mean to negotiate with policy makers? What does it mean to negotiate with the beneficiaries of the program? These questions will be discussed briefly in the section on "Evaluation Management."

Towards an Operationalization of Evaluation

For an operationalization of the evaluation plans, that is, to implement each evaluation study included in the agenda, each evaluation question should be analyzed with the help of a chart such as one produced below as Table III.2. This exercise will force discussion on many important issues that must be settled for the formal development of an evaluation proposal which has been discussed more fully elsewhere. (See H.S. Bhola, Evaluating Development Training Programs, 1982. Chapter VI.)

Table III.1: A Matrix to Check for Adequacy and Comprehensiveness of the Evaluation Agenda

	Policy/ Planning Subsystem	Administrative/ Mobilizational Subsystem	Technical Resources and Instructional Development Subsystem	Teaching/ Learning Subsystem	Post/ Literacy Subsystem	Evaluation Subsystem
CONTEXTS				1,2,3		
INPUTS		1,2		1,2,3,4	1,2	
PROCESSES	1		1	1,2		
OUTPUTS				1		

Table III.2: A Tool for the Operationalization of the Evaluation Effort

	Evaluation Question, x	Evaluation Question, y	Evaluation Question, z
Evaluation Question/ Aspect/Objective			
Concept Analysis and Indicators			
Unit(s) of Analysis and Sources of Data			
Instrumentation and Data Collection Approaches			
Remarks on Related Practical Considerations			

Models and Methods of Evaluation in Literacy Programs

In the choice of models and methods of evaluation of literacy programs, one must learn to be eclectic. One must use what we have elsewhere described as the 3-S (Situation-Specific Strategy) model. The evaluator must begin with the problem and then use or adapt the model or models that will help in the systematic handling of the problem and its solution.

In a similar vein, one must choose situation-specific methodologies for the collection of data. In some cases, classical and quantitative approaches to data collection may be appropriate. In another setting, the information may be best collected through use of naturalistic and qualitative methodologies. In yet another case, evaluative information may be available through the analysis of the discourse of those involved

in the program as teachers or as learners. An analysis of the discourse of the peoples (without the use of questionnaires and survey instruments) can teach us a lot about processes and impact of our programs.

One must also remember that all evaluation will not be data based. That is, some part of evaluation (and an important part of it) may not be empirical but analytical. It may be table-top analysis involving historical methodology, content analysis and examination of policy statements and documents.

Evaluation of Impact: The Case of Tanzania

We are all aware of the work done in Tanzania in the area of literacy promotion during the 1970s. Recently,[1] the department of adult education in Tanzania circulated a paper which is self-explanatory:

CONCEPTUALIZATION OF EVALUATION OF THE IMPACT OF FUNCTIONAL LITERACY IN TANZANIA

As you already know, in the past twelve years Tanzania has been engaged in a nation-wide literacy campaign. This campaign which has been conducted on the concept of functional literacy is an effort towards combating illiteracy among adults who form an essential portion of population in overall political, social and economic development.

This struggle started on experimental basis with the then UNDP/UNESCO Work-Oriented Adult Literacy Pilot Project in pursuit of the resolution passed by the Tehran Conference in 1965. When the World was celebrating 1970 as the Education Year, His Excellency The President Mwalimu Julius K. Nyerere declared the year as the Adult Education Year in Tanzania. Following the encouraging results, ever since, there have been continuous efforts to eradicate illiteracy.

Since that time, in Tanzania the literacy campaign has been regarded as an essential element in overall development and as such has been integrated in national development plans. The teaching of three

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[1]The letter was dated May 26, 1982.

R's went simultaneously with a curriculum package which included vocational training in agriculture, craftsmanship, health education, home economics and political education. Curriculum goals were geared towards higher production of food and cash crops and developing the rural population towards self-reliance. Another goal was to make the people politically conscious and understand their responsibility and role as members of a socialist nation with a policy of socialism and self-reliance.

Since the inception of this programme, three National Literacy Tests have been administered in the years 1975, 1977, and 1981. These tests were executed with an intention of evaluating the extent to which illiteracy rate has been reduced. The 1975 literacy test revealed that the illiteracy rate had been reduced from 69% to 39%. In 1977 the percentage was reduced to 27% and a further reduction down to 21% was realised in 1981.

Although the illiteracy rate now stands at 21%, there remains a need of evaluating the impact of the campaign on the community with special emphasis on adults who participated in the various programmes of the campaign. Currently, there are adults who are attending post-literacy programmes. Their abilities in reading, writing and arithmetic have been assessed but no attempt has been made to assess how the various theoretical and vocational skills imparted through the functional literacy classes, radio programmes, rural libraries, rural newspapers, discussion groups, vocational training centres, etc. have affected the attitudes, practices, behaviour, life outlook, political, social and economic performance of functional literacy graduates and the nation as a whole.

Over the years we have been carrying the struggle with great enthusiasm. We may have been successful in some cases and may have had failures in others. Numerous countries and organizations and various people have exchanged experience with us. Their knowledge and wisdom have contributed tremendously to our endeavour. We are now desirous of conducting an evaluation of the impact of functional literacy on our people. We intend to carry out a scientific investigation of real changes which have happened. We fundamentally feel that this exercise will determine the rate and extent of success or failure we have achieved. The findings of this evaluation will equally help us determine guidelines for future planning.

This evaluation of impact when completed will be a case of summative evaluation (evaluation that comes at the end of a program or an important phase of a program and sums up the whole experience). But these very questions must also be tackled as part of in-built formative evaluation (evaluation that can be used in the formulation and continuous improvement of the program).

A General Response

Readers may be interested in the general response provided in regard to the evaluation plans described above:

1. The overall major "evaluation study" should be seen as a collection of many interrelated tributary "evaluation studies." The tributary evaluation studies must, in each case, be carefully planned. A variety of data should be analyzed, using a variety of methods. One should envisage statistical analyses of correlations and trends, sample surveys, tracer studies of individual graduates of literacy classes, ethnographic studies of families and communities, and mass observations such as those used by Professor Madge in U.K. many years ago.

2. The major Evaluation Study should accommodate many units of analysis: individual adults, families, groups, communities, institutions and the nation. The study of impact should not be done only in terms of the individual.

3. The samples should be so chosen that comparison can be made between and among:

Males and females
Levels of literacy skills
Rural and urban settings
Occupational groups--cotton farmers, cattle growers, textile workers, etc.

4. The sample of individuals chosen should additionally be time-sensitive. The testing years of 1975, 1977 and 1981 are obvious milestones. If at all possible, a distinction must, however, be made between the time when an individual became literate and the time when he or she was declared literate.

5. In the study of impact, do not stop with economic impact only.

Data should be collected and analyzed, among others, on locus of control, satisfaction with life, participation in local institutions, health and nutrition, family planning attitudes, new motivations and aspirations for self and children, change or persistence of taboos and ethnic prejudices, understanding of political processes and of self-reliance, educational and cultural consumption, etc.

6. I strongly recommend that statistical analyses be complemented by case studies using naturalistic anthropological approaches. Related with it is my suggestion that the Department should provide the leadership but not try to do all evaluation work by itself and under its own roof. All the different social scientific institutions in the country should undertake tributary evaluation studies as part of the overall education.

There may be some ideas here that we can use as well in our own national settings. We are interested in impact at the various intermediate stages of our programs.

SECTION IV

MANAGEMENT INFORMATION SYSTEM (MIS)

In describing the needs for information in regard to the context of programs, their formation and implementation and feedback on their performance, we have been using the term evaluation in a generic sense. It should be clear, of course, that some of the answers to the questions listed above may be better answered by research than by evaluation (see the distinctions made in the earlier part of the paper). Also, some of the evaluations may be conducted as quick appraisals and through monitoring of the programs by actual visits or on the basis of periodical reports from the field.

All of the processes of research, evaluation, quick appraisals and monitoring can be helped by collecting and systematically organizing information routinely generated by and within the program. Such information can first be used in making everyday management decisions and then in evaluating effectiveness of decisions, actions and their consequences. Such a system of information is called a management information system (MIS).[1]

The talk of an MIS raises in some minds the image of powerful computors, programmed to do impossible things, spilling out miles and miles of print-outs with tables, schematas and graphs, telling us what

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[1]A distinction must be made between "program management" and "evaluation management." While there is an overlap between problems in the two enterprises and some of the strategies of management are common to both systems, their frames of reference differ significantly.

to do and thereby solving all our management problems. Nothing could be farther from the truth.

An MIS may have nothing to do with computors. It may be a manual system, that is, a set of tables and questionnaires filled at various points in time and files sequentially and systematically to provide us with serial data at various points in the life of a program. The MIS may indeed be of modest scope, collecting and storing data only on the most important variables impacting on the program. The data as stored may be in a disaggregated form and each time information is needed, data may have to be collated and fitted into a proper display. Whatever the size and scope or nature of an MIS, it will not do our thinking for us. It will not tell us what to do. It will only describe the program in its various aspects. We will have to take it up from there and interpret this information and make management decisions for the maximization of results within our particular value frame.

The Essential Nature of an MIS

The essence of designing an MIS is to make the program to leave its footprints behind so that one can always find out how big the foot is, where the program has been, and where it is going.

Too often in designing MIS's, literacy workers might make the error of collecting all possible numerical data but neglecting the collection of qualitative data as well as the "artifacts" of the program such as primers, graded books, teacher guides, teacher diaries, posters, photographs, etc. These kinds of data and evidence must not be neglected.

The following considerations must enter the design of an MIS:[1]

(i) Choice of units and entities where change will appear. Such units may be individuals (learners, teachers, community leaders), groups (literacy classes, women's clubs, discussion groups), institutions (health clinics, schools, rehabilitation centers), or communities or sub-cultures. Sometimes these may be physical entities, such as, primers, books, homes, fields, shops, wells, storage bins, etc.

(ii) Choice of indicators of change. Indicators or signs that signify change in already selected units and entities must be chosen next. These indicators may be attendance in literacy classes, absence from the factory for reasons of ill-health, purchase of consumer goods, rise in productivity, etc.

(iii) Economy in data collection. In designing an MIS one need not collect all possible data. Indeed only the minimum necessary information should become part of the MIS.

(iv) Selection of points for origination, successive aggregation and storage of data. It should be clear where data will originate, at what successive levels and points data will be aggregated and where it will be finally stored for possible retrieval and use in decision making. This will require that data collection and data aggregation duties of various role performers in the program system are clearly identified; and the logistics of the physical transfer of data are managed effectively.

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[1]Excerpted from H.S. Bhola, Evaluating Development Training Programs. Bonn, FRG: German Foundation for International Development, 1982. (Pages 88-89).

(v) Design of proformas, tabulations, report forms, etc. Simplicity and standardization of instruments for data collection and reporting are important for the successful implementation of an MIS.

(vi) Timing and flow of data. Monitoring fails if it is not time-sensitive. Data should move in time series according to a determined pattern of flow -- upwards, downwards and horizontally as required.

(vii) Data audit. Data audits are important to ensure that there is no misreporting of data and that the intent of various proformas in use in the MIS is well-understood.

(viii) Processing and feedback. The data collected at a particular level should be used to improve program decisions at that level before sending it upwards. When data is processed at the central level, or at one of the intermediate levels, feedback should be provided to all concerned. Only then can the total system grow in intelligence.

The Case of a Unesco Project

The Unesco Experimental World Literacy Program worked with a set of indicators that could usefully be examined by all those engaged in literacy evaluation. The Panel for the Evaluation of Experimental Literacy Projects, set up by Unesco in one of their meetings in Tehran, Iran, during September 1970, drew up a list, reproduced on the following pages, of eleven minimum and nineteen recommended indicators for use by the various projects.

LIST OF MINIMUM AND RECOMMENDED INDICATORS

I BASIC STATISTICAL INDICATORS

A. Quantitative aspects
   1. *Minimum indicators*
      1.1. Ratio of inscription in programme: Indicator is a ratio between the number of participants originally registered and number of places available.
      1.2. Rate of drop-outs
      1.3. Rate of attendance
      1.4. Time utilization: Indicator is a ratio between class sessions planned and actually held.
   2. *Recommended indicators*
      2.1. Rate of coverage: Indicator is a ratio between number of eligible clients and those actually covered in a programme.
      2.2. Rate of participation in final tests

B. Qualitative aspects
   1. *Minimum indicators*
      1.5. Literacy acquisition
      1.6. Acquisition of technical and professional knowledge
   2. *Recommended indicator*
      2.3. Acquisition of knowledge of socio-economic character

C. Degree of adoption of writing, reading and calculating
   1. *Minimum indicator*
      1.7. Use of writing ability
   2. *Recommended indicators*
      2.4. Use of reading ability
      2.5. Use of arithmetical ability

II INDICATORS PERTAINING TO ECONOMIC GROWTH AND DEVELOPMENT

A. Production
   1. *Minimum indicator*
      1.8. Increase in production per capita
   2. *Recommended indicators*
      2.6. Quality of products
      2.7. Selling price
      2.8. Price (per quantitative unit) of the elements entering the costs of production

B. Income—living standards
   1. *Minimum indicator*
      1.9. Increase in the number of durable goods and improvements contributing to the standard of living
   2. *Recommended indicator*
      2.9. Increase of net global monetary income of individuals

C. Production, servicing and transport equipment
   2. *Recommended indicator*
      2.10. Increase in equipment for production, servicing or transport (in programmes for small agricultural producers)

D. Socio-economic attitudes
   2. *Recommended indicator*
      2.11. Importance of changes in the domain of socio-economic attitudes and in the individual's role in society.

III ATTITUDES TOWARDS EDUCATION

1. *Minimum indicator*
   1.10. Rate of scholarization of participants' children: This is a ratio between the total number of children of school age and those actually attending school.
2. *Recommended indicator*
   2.12. Rate of interruption of schooling in participants' children: Ratio between the number of participants' children who interrupted their schooling and of interruptions in the total school-going population.

IV PROFESSIONAL COMPETENCE

2. *Recommended indicators*
   2.13. Adoption rate of recommended innovations
   2.14. Level of know-how in the fields covered by the programme
   2.15. Increase in desire for changes and technical innovations

V RELATION TOWARDS MEANS OF MASS COMMUNICATION

2. *Recommended indicators*
   2.16. Ownership of radios and television sets
   2.17. Preference for educational programmes

VI HEALTH, HYGIENE AND SAFETY

1. *Minimum indicator*
   1.11. Acquisition of knowledge of health, hygiene and safety around home
2. *Recommended indicator*
   2.18. Acquisition of knowledge of health, hygiene and safety in work settings

VII COSTS AND COST-BENEFIT ANALYSIS

2. *Recommended indicator*
   2.19. Per capita cost of functional literacy

Some features of this list of indicators should be noted. First, it emerged from Unesco's concept of functional literacy and the objectives of functional literacy programs in both rural and urban settings. A more generalized model of literacy in development would have led to a somewhat different set of indicators. Secondly, the emphasis seems to be on indicators of inputs and outputs. Outputs are viewed in terms of information and attitudes learned and an attempt is made to measure them

in terms of applications of the information learned and the impacts of such applications on the life and work of participants. Thirdly, indicators have been divided into two clusters -- minimum and recommended. The implication is that, while it might be advisable for a functional literacy project to use all of the thirty indicators suggested by the Unesco Panel, conditions will differ from program to program and from country to country, so that each project will have to develop its own evaluation policy. Fourthly, most of the indicators listed are not themselves directly observable and will have to be defined in terms of others that can be measured and weighed.

Back in 1971, the Literacy Division of Unesco, Paris was interested in developing a Management Information System (MIS) to cover all the eleven or so projects all over the world. Indiana University was contracted to provide the outlines of a system that could be later tested-in-use and installed at the headquarters in Paris.[1]

The skeleton of the Standardized Date Reporting System[2] (SDRS) suggested by the Indiana University team to Unesco, Paris is reproduced below for it should suggest to readers some interesting ideas about the establishment of MIS's within literacy projects of our current concern.

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[1]Professors H.S. Bhola and Michael Chiappetta of School of Education, Indiana University were in charge of the project at Indiana University. Late Dr. H.P. Saksena, then of Unesco Literacy Division, joined the team in Bloomington, Indiana for a short period of time. Faculties of Education, Psycholinguistics, Sociology and Economics at Indiana University also provided guidance and help.

[2]The project involving the development of the Standardized Data Reporting System (SDRS) is described briefly in Michael Chiappetta, "One Always Starts in the Middle: A Case Study Involving Unesco, Indiana University and Functional Literacy," Literacy Discussion, Fall 1974, pp. 351-372.

Table IV.1: Standardized Data Reporting on Functional Literacy Projects

STANDARDIZED DATA REPORTING
ON FUNCTIONAL LITERACY PROJECTS

Code

TABLE I

Project:
Programme:
Started: Ended:
Sub-project area:
Stage: Batch:
Life year of programme:

(1)	(2)	(3)	(4)	(5)	(6)			(7)		(8)		(9)	
					Cumulative Dropouts and Additions			Attendance		Group Time Utilization		Participants examined	
					(a)	(b)	(c)	(a)	(b)	(a)	(b)	(a)	(b)
Sex	Age	Estimate of potential participants	Number of places made available by the programme	Number of participants originally registered	Additions	Dropouts from originally registered participants	Dropouts from Additions	Maximum Attendance	Actual Attendance	Planned Sessions	Sessions actually held	Total number of participants tested	Originally registered tested

Table IV.2: Standardized Data Reporting on Functional Literacy Projects

STANDARDIZED DATA REPORTING
ON FUNCTIONAL LITERACY PROJECTS

TABLE IIa

Code

(10)	(11)	(12)	(13)				(14)			
			Reading				Writing			
Identification of groups	S e x	A g e	Statistics	Test of significance	Critical Score / Value		Statistics	Test of significance	Critical Score / Value	
					P	F			P	F

Table IV.3: Standardized Data Reporting on Functional Literacy Projects

STANDARDIZED DATA REPORTING
ON FUNCTIONAL LITERACY PROJECTS

TABLE IIb

Code

(15)				(16)				(17)			
Elementary Arithmetic				Applied Arithmetic				Occupational/technical knowledge			
Statistics	Test of significance	Critical Score / Value		Statistics	Test of significance	Critical Score / Value		Statistics	Test of significance	Critical Score / Value	
		P	F			P	F			P	F

Table IV.4: Standardized Data Reporting on Functional Literacy Projects

STANDARDIZED DATA REPORTING
ON FUNCTIONAL LITERACY PROJECTS

TABLE IIc

Code

(18)				(19)				(20)			
Socio-economic knowledge				Health, Hygiene and Nutrition				Any others (graphicacy, artistic designs)			
		Critical Score / Value				Critical Score / Value				Critical Score / Value	
		P	F			P	F			P	F

Table IV.5: Standardized Data Reporting on Functional Literacy Projects

STANDARDIZED DATA REPORTING
ON FUNCTIONAL LITERACY PROJECTS

TABLE III

Code

(21)	(22)	(23)	(24)					
			Attitudinal Changes					
Identification of groups	Sex	Age						

Table IV.6: Standardized Data Reporting on Functional Literacy Projects

STANDARDIZED DATA REPORTING
ON FUNCTIONAL LITERACY PROJECTS

TABLE IVa

Code

| (25) | (26) | (27) | (28) | (29) | | |

Table IV.7: Standardized Data Reporting on Functional Literacy Projects

STANDARDIZED DATA REPORTING ON FUNCTIONAL LITERACY PROJECTS

CODE

TABLE IVb

(30)		(31)		
Scholarization of children		Any other recommended indicators		
(a) Boys	(b) Girls			

Table IV.8: Standardized Data Reporting on Functional Literacy Projects

STANDARDIZED DATA REPORTING
ON FUNCTIONAL LITERACY PROJECTS

Code

TABLE V

(32)	(33)	(34)	(35)	(36)	(37)	(38)
Identification of groups	Sex	Age	Changes in production	Changes in number of durable goods	Changes in net global monetary income of individuals	Any others

Some remarks are in order in regard to the design of forms and tables for an MIS and for a program in general. First, the forms and tables must not be so complicated that field workers can not fill those forms and tables. At the same time, all forms and tables, howsoever simple, must be explained to future users in some sort of training sessions.

Second, the forms and tables used may collect both hard data and opinions, but the two must be clearly separated. One must not be allowed to be confused with the other.

Third, there should be provision for collation of data at each of the various levels of the program system. More importantly, this collation should be so organized that it compels understanding and use of data by program people handling the data.

Some of the forms and tables, at the end, may indeed ask the worker direct questions such as these: Is there something new and unexpected in the data that you will want us to note? Have you decided to make any adjustments or changes in your work on the basis of this information? What are those adjustments or changes?

SECTION V

EVALUATION MANAGEMENT

Management is, in essence, the skillful use of available means. In modern management practice, management is a term with much more comprehensive import. It must involve, for example, not merely control of personnel but leadership. The idea is that individual purposes of various role incumbents and organizational purposes can be reconciled and good management should achieve that reconciliation. Management as understood today also covers system design: invention of innovative roles and of administrative structures and mechanisms -- management by adhoceracy, for example -- as well as creation and maintenance of proper organizational climate. Finally, management today must relate to values larger than the narrow objectives of the organization and show social responsibility.

There are some procedures that the manager can develop and install following some time-tested strategies and principles of management. But there are some overarching considerations in good management of evaluation systems. Two are most important:

1. Professional orientation of the system

All those working within the evaluation subsystem and in the overall program system should have a professional orientation. What this means is that those involved in the program should look at social change as an experiment -- an experiment in humanity, an experiment in culture-making, but an experiment, nonetheless. This will mean, first, that

thoughtful calculations are made of what means should be employed for what ends. Second, this will mean that results, both anticipated and unanticipated will be looked at and evaluated; and while such evaluation of results is undertaken, the emphasis will be to look for causes rather than culprits or heroes.

2. An organizational climate of trust

The able manager of evaluation subsystems must create a climate of trust within the evaluation subsystem and within the overall program system. Information is power. Once information is available, it can be both used and abused. Those who provide the information about themselves and their work must feel assured that it will not be used against them. There should be no incentives for people to falsify information. Those who receive information must trust the information they receive. They should not look at it as something made up, or something undependable, being produced for reasons other than functional. And in the process of the collection, collation, synthesis and movement of information, there should be no misuse designed to embarrass people, groups or parts of the organization.

This professional orientation and climate of trust can not be ordered by memorandum. It will emerge over the months and years as the various organizational actors see the managers at work, listen to their words and watch their actions.

Evaluation Subsystem:
Organizational Design and Development

Evaluation planning is not simply a matter of coming up with a list of evaluation questions. The evaluation planning process must

include the problems of management of the implementation process; and the planning later for the utilization of the evaluative information produced.

The tasks in the managemert of evaluation include the development of an evaluation subsystem; linking this evaluation subsystem with the program system as well as with outside support institutions; recruitment and training of personnel to conduct the evaluation; resource generation and allocation; provision of logistical support, quality control and time budgeting of the enterprise; and ensuring appropriate and ethical use of information collected.

(i) Developing an Evaluation Subsystem

To make evaluation possible, an evaluation subsystem must be developed. This will typically involve the creation of a subculture of evaluation -- many different people, playing many different roles at various levels of the program system. Some will be holding exclusively evaluation jobs, that is, they will not be engaged in program implementation. Some will be program people, generating and collecting evaluation data and feeding it into the evaluation subsystem. In some cases, evaluation information will be collected and supplied by outside people, and institutions outside the boundaries of the literacy program. The essential point is that there will be a mix of full-time and part-time evaluation roles within all evaluation subsystems; and that there must be a clear understanding about the distribution of labor within these systems and subsystems.

Readers' attention is invited to the section "The Right Conception of an Evaluation Subsystem" and Figure I.1 including "The organization

of an overall program system showing the relationships between the evaluation subsystem and the program subsystem."

(ii) Staffing and Recruitment

Staffing and recruitment of personnel for evaluation jobs should be undertaken carefully. Prospective candidates must be interviewed when the nature of the tasks involved in evaluation should be fully explained to them as well as the special obligations of the job as evaluators.

The tasks involved in the evaluation process are varied: logical tasks (involving the design of studies and instruments); social tasks (involving contacts and communications with individuals and communities); computing tasks (involving quantification of data, data collation and, perhaps, some statistical analysis); and writing tasks (involving writing short and long reports based on field data).

Evaluation also involves important obligations in regard to travel and work away from the desk in the office. Health of the evaluator and his family situation must permit travel away from home for long periods of time, on short notice.

It is unlikely that in the developing areas of the world, trained evaluators will be easily available for hiring. There may be some candidates, sometimes, who have taken some "research courses" in a university. People with such backgrounds can be easily trained for their evaluation tasks. Some caution is necessary, however. Some researchers have been socialized to do only research, dealing with questions they consider are significant. They think that whatever is not publishable is not worth doing. To them evaluation questions

dealing with an ongoing program are mere counting and describing. For them these tasks are not worth pursuing. We have to be careful that we do not recruit such people to join evaluation staff.

(iii) Training of Evaluation Staff

The need for the training of evaluation staff is so obvious that it does not require any detailed comment. Task related training should be preferred to general training. Short training should be preferred to long training. Training at home within the context of the program should be preferred to training abroad. When training abroad for long periods of time has to be provided to fit program needs, suitable contracts requiring trainees to serve the program on return must be developed, signed and made binding.

(iv) Interfacing within the Program System and Training and Orientation of Program Staff

More than once we have asserted that the evaluation subsystem is not made up only of the few people who carry the word evaluation in their designations. We have talked of the "right conception of an evaluation subsystem" and suggested that while there will be some full-time evaluation officers, all program officers will have to act as part-time evaluation officers.

This should point up the important need for developing organizational interfaces and working relationships between the evaluation subsystem and the overall program system. This will mean that resources should be committed also to the training and orientation of program staff in the meaning, methods, and utilization of evaluation data. All participants in the system must understand clearly what their

obligations are, as also what are the rewards and credits due to them for their interest and labor. Sharing the credit for evaluations completed is a very important consideration, for no one wants to put in hours and hours of labor so that others can write reports and advance their careers.

(v) Linkage with Support Institutions

Linkages and interfaces with support institutions are important as well. Evaluators of literacy programs, employed directly within projects and programs, may never be able to carry the whole burden of research and evaluation by themselves. They will need the help of universities to do the needed research and evaluation. They will need also the assistance of publishers, libraries and voluntary agencies. In the case of India, for example, it seems obvious that evaluation tasks will have to be divided between and among the Directorate of Education; the departments of adult and nonformal education in the States; the infrastructure of State resource centers and some of the district resource centers; other departments dealing with development extension; and libraries, publishers and voluntary agencies.

(vi) Decision Networks and Nodes

Evaluation is too important to be left to evaluators alone! As part of the management of evaluation, mechanisms must be established that make decisions about what program decisions need to be serviced by evaluation; to establish priorities among various needs; to establish evaluation teams and to give the go ahead on particular

evaluation studies. The various committees established for this purpose should have clear mandates. The various individuals who must convene those meetings and must implement decisions of those committees must also be identified and charged with their tasks clearly and unambiguously.

(vii) Communication Within the System

It is most important to ensure that no "rumor mill" develops around the evaluation tasks. Do not let people guess about what is going on; give them the information. Do not leave them to make their own uninformed and ideosyncratic interpretations based on partial data that they may happen to look at with someone, somewhere, at some time. Provide the total picture -- and as it develops.

An in-house evaluation newsletter seems like an excellent idea. Such a newsletter should be more like a personal "letter" than like an impersonal "newspaper." The language should be simple and the style personalized. And it must be informative. It should tell the readers all that is going on about evaluation -- objectives, methods, field problems, solutions developed to cope with them, and as far as possible early returns on data.

(viii) Project Development and Team Building

Let us be reminded that as part of evaluation management two overlapping evaluation subsystems will have to be managed:

(a) The continuous collection of data about the program as part of the MIS. (The concept and design of MIS was discussed in an earlier section of this document.) This MIS will provide the steel frame for all evaluative activities such as monitoring, quick appraisals and special evaluation studies.

(b) The collection of data as part of specialized evaluation studies to meet specific information needs of program decisions.

This section is addressed to (b) above. Once the evaluation question has been decided upon, those responsible for the management of evaluation should initiate the process of project development. An evaluation team should be named and brought together to plan, implement and report on the evaluation study. This team should spend a lot of time in conference -- that is, in meetings where tasks are defined, assigned to different people and wherein tasks accomplished are reviewed by peers.

It is for this team to also develop a PERT chart (a time schedule) for the accomplishment of various tasks that must be performed as part of the implementation of the evaluation project.

(ix) Resources, Logistics, and Control

Evaluation requires resources and these are not easy to obtain when they compete with program needs within an overall condition of resource scarcity. Evaluation planners must learn to do most with the least of resources. This would mean that evaluators must make evaluation part of programing. Evaluation should be seen as routine as what one must do to implement a program effectively. Such a stance will allow the evaluator to piggyback on the resources already available to programs.

In the Third World settings, where evaluation of literacy programs will often take place, logistics of sample selection, data collection and data analysis are going to present serious difficulties. Evaluators can not play God and will that there be telephones, and that there

be roads and that there be all the cars and landrovers needed for their trips upcountry. All they can do is play in a way that logistical problems are anticipated and as far as possible are accounted for.

Finally, tnere is the problem of control: to ensure that the tasks get done; that the accomplishment is of high quality; that data are not fabricated or falsified; that tasks are completed on time; and that those participating in the process of evaluation can keep a high morale -- consider the work worth doing and can see its usefulness in the actual improvement of programs.

The problem of control at the field level acquires a special aspect when we remember that many of the people working at the field level in the Third World will be voluntary workers, working part-time and paid very small stipends. The extent of obligations one can put on such voluntary workers are quite a bit limited.

(X) Monitoring as a Management Tool

Monitoring described earlier as watching and checking upon an on-going program to detect flows and to provide corrective actions is an important management tool. A good manager needs to know what is going on within the "living system" at any particular time. Monitoring must cover the total system of literacy and the various levels of action. The tabulation on next page (Table V.1) presents the scope of monitoring within a program system of literacy promotion.

The entries in Table V.1 are not complete and comprehensive. The table does indicate, however, the kinds of concerns, at the various levels of the program system, which must be covered in a monitoring effort.

Table V.1: The Scope of Monitoring Within a Literacy System

	Policy and Planning Subsystem	Administrative and Mobilizational Subsystem	Technical Resources and Instructional Development Subsystem	Teaching-Learning Subsystem	Post-Literacy Subsystem	Evaluation Subsystem
National Level	Policy defined and disseminated?	Insititutional arrangements discussed/ made? Resource allocations made?	Resource centers established? Materials designed, produced?	Clear instructions developed about general approaches?	Plans made? Materials produced?	Evaluation system established? Evaluation planning done?
Intermediate Level(s)	Policy adapted to the region?	Coordination established? Funds obtained and disbursed?	Regional resource centers established? Special materials produced?	Instructors recruited, trained, supervised?	Plans implemented?	Orientation provided? Duties assigned?
Community Level	Policy intentions understood?	Records kept? Door to door motivational work done?	Local low-cost material used?	Lesson plans used? Work books used?	Study circles working? Library opened as expected?	Forms filled and kept?

SECTION VI

UTILIZATION OF EVALUATION RESULTS AND FINDINGS

Evaluation lore is full of stories about the nonutilization of evaluation studies; of evaluation studies that were rejected or ordered redone because the powers that be did not like the results; or of evaluations that destroyed the careers and lives of evaluators who made the mistake of initiating and implementing them.

Two different sets of problems seem to be involved. One set of problems can be subsumed under "Knowledge Production and Utilization." The other set of problems belong to the "Politics of Evaluation."

Life is, of course, political. Evaluation (or for that matter program development or research) can never be fully isolated from the political context. Again, neither individuals nor institutions are able to utilize in their work all the relevant knowledge that is indeed already available somewhere. But utilization of evaluation findings can be considerably improved and its politics can be contained within limits by taking some simple steps.

1. Making Utilization of Evaluation Findings More Probable

The process by which knowledge and information produced by researchers and evaluators comes to be utilized by practitioners is by no means simple. It is indeed highly complex and we are just now beginning to understand it.

Some things are quite clear already. One important fact we have learned is that for knowledge to be utilized by the practitioner, it

must be appropriately processed. In other words, research must go through a "development" phase. In the area of evaluation, it would mean that the implications of the findings are worked out carefully for those who could use the evaluation findings and profit from doing so.

A second important fact we have learned is that research utilization is not a rational process engaged in by reasonable men but that it is a social process, with a sociology of its own. The mere existence of evaluation findings is no guarantee that utilization will follow. There is nothing deterministic or even compelling about knowledge finding its use on its own.

2. Limiting Some of the Politics of Evaluation

It is well to understand that people working within organizations, as people generally, do not like surprises, nor do they enjoy being exposed to criticism. They certainly do not like to be attacked or "proved" to be less than efficient. And yet evaluation most often contains an element of surprise since it produces new information or throws new light on known facts. It does make some people open to criticism both justified and unjustified; and some people may indeed feel attacked since evaluation may show the consequences of the decisions they took or did not take, and may show the hollowness of some of the claims they might have made. This is all what makes evaluation political.

When evaluation surprises, exposes, criticizes or attacks, the stakeholders may do one or more of the following:

(i) Hide or bury evaluation study informally through clever filemanship.

(ii) Declare the study to be "classified" and contain the discussion within the safe confines of the program bureaucracy.

(iii) Call the evaluation study to be unauthorized and by implication both illegal and mischevious.

(iv) Attack the evaluators' intensions, program focus, choice of timing and also their methodology.

(v) Attack the evaluators for not having provided the data earlier or to declare that the program conditions have changed since the evaluation study became available.

(vi) Asking the evaluators to collect more data or to order a new study from a more congenial group of evaluators.

(vii) Reject the results of a study as being unusable within the prevailing value system of the society.

As has been said earlier, evaluators can not play God and wish away the politics of evaluation. Nor can they guarantee that evaluation findings produced by them will indeed be put to work. However, some steps can be taken that will perhaps ensure that an evaluation effort does not become highly politicized and that chances of its utilization by decision makers are increased.

(i) Evaluation questions should be chosen in collaberation with future users. Evaluation (both internal evaluation and external evaluation) has to be decision-oriented. Evaluation issues and questions must be chosen according to the criteria of usefulness to the decision makers within the program system. Both the choice of questions

and the assignment of priorities among questions should be done with the decision makers themselves and within group settings. This will give "ownership" of the effort to the decision makers and "legitimization" to the evaluators. There is a slight risk in this collaboration in that that the decision makers may steer the evaluators away from the crucial questions. Evaluators will have to guard against this happening and will have to use the "objective fact" and the "need for information," already stated by the actors within the system in other contexts and at other times, as part of their argument. Such collaboration, happily, is bound to ameliorate both the political and the utilization problems, if not solve them completely.

(ii) A formal prospectus (proposal) should be developed for the evaluation study. This needs to be done even in the case of quick appraisals. It must be ensured that the task of proposal writing does not become a substitute for the actual evaluation study. The proposal should be developed expeditiously and always on an emergency basis by a properly constituted committee that includes both evaluators and decision makers -- the future utilizers. A typical proposal should seldom take more than a 40-hour week. The first few hours of the proposal writing meeting should make decisions about the statement of question, approaches, samples, instruments and time schedule. Then tasks should be assigned appropriately to each member of the proposal writing committee which should have between 4-6 members. After this initial meeting, the group time should always be used for review and never for actual writing of text, or instruments.

It is well to be reminded here that even in the so-called technical

area of evaluation methodology, there is no one correct way of doing things. If the program people for some reasons do not respect qualitative data, then offer to use both quantitative and qualitative approaches. Once the qualitative data has produced useful information, decision makers will be more sympathetic to this kind of data and to naturalistic inquiry methodology in general. If statistics demand only a small sample and the program people refuse to believe that such a small sample represents reality, then take a sample size that is acceptable. In other words, make samples both statistically and psychologically valid.

Write a formal proposal. This will become a "contract" of sorts between and among all concerned. Give the names and designations of each and every one who collaborated in writing the proposal. Do not try to take all the credit for developing the proposal. Do not let people forget that this was a collaberative effort of the evaluators and the decision makers.

(iii) Implement the study also as a collaborative effort. Evaluators must do what they are supposed to do and should not try to let others do all their work. However, they should make sure that the implementation of the study is seen as a collaborative effort. They absolutely must guard against monopolizing the evaluation effort to themselves as evaluators.

The design of the instruments should be such that insights emerge for the program officials in the very process of data collection. Indeed, it may be possible to ask program officials at various levels to collate and interpret the data they collect and then send their

original disaggregated data up to the evaluators, along with their collations and interpretations.

In the real world of evaluation and social action, evaluator may find that they have to make changes in their field work plans, sample sizes and sample sources, and even rewrite their evaluation questions and indicators. Such changes must always be discussed with the original proposal-writing committee. All concerned must understand that the changes made were imposed by the realities of the field. More importantly, it must be ensured that the integrity of the original evaluation intent and of the related study are not compromised.

(iv) Complete the study on time and provide interim reports. It is absolutely important that an evaluation study is completed on ti e from the perspective of the decision maker. An evaluation study that is late is like an old newspaper. It is better to have a good enough study on time, than a perfect piece by job that was completed too late.

It is important, again, that interim reports are written and made available to decision makers. This should be done as many times as it makes sense. The nature of the evaluation question asked and the type of data collected will most likely impose a particular structure and phasing on the study. At the end of each natural phase, an interim report should be made available to decision makers.

(v) Collective interpretation of results and development of norms. Evaluators must collate and analyze data and must prepare data displays, but they should conduct collective interpretations of data. Not only the program specialists but also the beneficiaries of programs should

be drawn into this collaborative interpretation.

Even more important is the need to develop collectively a frame of reference for making sense out of the data in relation to the expectations for program performance. Is the average daily attendance of 15 in an adult class of 30 an acceptable condition? Is the increase in productivity of only 4% in contrast to the 15% expected a "satisficing" condition or a disaster? Is participant satisfaction with the program more important than the criteria of success laid down by an outside agency?

(vi) Write multiple reports. Finally, there is the need to write not just one report but different reports for different constituencies. Even more important, is the need to work out the program and administrative implications of an evaluation study and to translate the various implications into official orders and memoranda to which the program functionaries at various levels will respond.

As indicated earlier, such steps will not make it absolutely certain that evaluation results are put to work by program specialists and other decision makers. It will, however, make it more probable.

SECTION VII

CONCLUDING REMARKS

In the previous sections of this paper, we have discussed various related topics of interest to managers of programs and of evaluations.

Evaluation planning was discussed in some detail in the first few sections. The point was made that an evaluation planner must first describe in design terms the program that is to be evaluated. Evaluation needs should be analyzed on the basis of such a description and then a situation-specific agenda should be developed to be negotiated with policy makers and political actors, on the one hand, and beneficiaries of the programs, on the other hand.

The question can be asked:

If the politicians are going to decide, why should the technicians bother at all to make these evaluation plans and agendas? Why not let the powers that be tell us what should be evaluated and what should be left alone? Such questions, not infrequent, are born of either impatience or cynicism, and arise in turn from a lack of understanding of political processes and of the role of knowledge in policy making. The professional evaluation planner, as technician, must discharge his or her duties in describing evaluation needs, stating significant evaluation questions and recommending and justifying priorities; and then must let the politicians discharge their duties. Only if the professional task has been done and done well will professional logic become part of the politics of decision making and make arbitrary decisions by politicians less likely and enlightened

choice of evaluations more and more likely. The professional evaluator in the process of negotiation will then not be professionally or personally compromised but will be able to make honest compromises without any loss of integrity. Through this paper we invite professional specialists working on various literary projects, programs and campaigns to develop evaluation plans that are both technically suitable and politically defensible and then put those plans through the processes of negotiation with the various stakeholders.

In another section, we have dealt with the important question of developing management information systems (MIS's). We have emphasized the need to develop systems which collect the minimum necessary data and are so designed that they are most frequently put to work in decision making.

The section on evaluation management may have repeated the obvious to many readers who themselves may have had long and significant experience of administration and management. Yet, many of these ideas need to be reinforced in a system that is always plagued by an "economy of scarcities" and wherein the need for coordination and resource-sharing is an inevitable necessity.

Finally, in the last section on utilization, we have included various practical suggestions to increase the probability that evaluation findings will be used and evaluators will not get hurt by the politics of evaluation. We have assumed a collaborative organizational style in making all these various suggestions. This assumption may not be true in many cultures of Asia, Africa and Latin America. Yet open and collaborative organizational styles will have to be learned both to

promote development and to be able to evaluate our own efforts in honesty and with effectiveness.